

Emergency Solutions Grant (ESG) Application Information Packet

July 16, 2013 (Revised July 22, 2013)

*North Carolina Department of Health and Human Services
Division of Aging and Adult Services
Housing and Homelessness Unit*

Applications are due Wednesday, August 21, 2013 at 5:00 PM

Application Q & A webinars are scheduled for:

Thursday, July 25, 10:00 AM-12:00 Noon

Thursday, August 8, 2:00 PM-4:00 PM

at

<https://dhhs.ncgovconnect.com/esg>

**Please note that all program and application information is
subject to change as HUD provides additional guidance on the
ESG program.**

Table of Contents

Section I. General Information

- Purpose
- Definitions
- Eligible Applicants
- Eligible Recipients and Sub-recipients
- Eligibility Program Participants
- Eligible Activities

Section II: Funding

- Available Funding
- Budget
- Funding Priorities
- Distribution of Funds
- Distribution of Un-awarded Funds
- Fiscal Sponsor
- Program Requirements
- Advances from the State

Section III: Data Collection/Outcomes

- Data Collection
- Program Outcomes

Section IV: Application Submission Information

- Application Deadlines
- Application Q + A Calls
- Recipient + Sub-Recipient Trainings

Section V: Application Guidelines

- Process for Evaluating Applications
- Threshold Requirements
- Application Evaluation Criteria

Section VI Attachments

- Attachment 1-Application Checklist
- Attachment 2-Pro Rata Distribution of ESG funds by CoC/Region
- Attachment 3-HUD's Definition of Homelessness
- Attachment 4-HUD's Definition of At-risk Homelessness
- Attachment 5-Matching Funds Form
- Attachment 6-Federal Certifications Combined Form
- Attachment 7-No Overdue Tax Certification Form
- Attachment 8-Annual IRS Tax Exemption Verification Form

Attachment 9-State Certification

Attachment 10-Conflict of Interest Acknowledgement and Policy Form

Attachment 11-Annual Conflict of Interest Verification

Attachment 12-Annual IRS Tax Exemption Verification Form

Attachment 13-Currently Known Reporting Requirements

Section I. General Information

A. Purpose

The purpose of the ESG Program is to:

- Provide assistance to rapidly re-house persons who are currently homeless
- Provide homeless prevention assistance to households who are at risk of becoming homeless
- Assist in meeting the costs of operating emergency shelters
- Restrict the increase of homelessness through the provision of preventive programs and activities

The North Carolina Department of Health and Human Services (DHHS) will administer the ESG non-entitlement funds throughout North Carolina. Funds from the federal FY2013 are made available through this application.

B. Definitions

Administration - The planning and execution of ESG activities including:

- General management, oversight, and coordination
- Training on ESG requirements
- Consolidated Plan

Activities - Actions by recipients and sub-recipients using ESG dollars to serve persons who are homeless or at risk of becoming homeless. ESG funds can only be used for activities deemed eligible by the State and HUD. Activities that are ineligible for ESG funds must be paid with other non-ESG sources.

Area Median Income (AMI) - Calculated by HUD annually and used to qualify families and individuals for a variety of HUD programs. The income amounts vary across the nation by Metropolitan Statistical Area (MSA) and county, if the county is not part of an MSA. Information on your community's AMI can be found at: http://www.huduser.org/portal/datasets/il/il2012/select_Geography.odn

Balance of State (BoS) - 79 Counties that are not members of metropolitan Continuum of Care make up the Balance of State Continuum of Care (BoS CoC). The BoS CoC enables those counties who are members to access competitive grants available through McKinney-Vento Homeless Assistance Act programs.

CHIN Carolina Homeless Information Network - The Homeless Management Information System (HMIS) that most of the State of North Carolina uses.

Systems Comparable to HMIS - An information management system that contains the same data elements that CHIN, the statewide HMIS contains.

Continuum of Care (CoC) - The voluntary group composed of representatives of relevant organizations that are organized to plan for and provide, as necessary, a system of strategies to address the various needs of homeless persons and persons at risk of homelessness for a specific geographic area.

CoC Lead Agency – The agency that is designated to carry out the activities of the CoC or grant including fiscal and compliance activities. Regular administrative tasks may include, but are not limited to: management of the annual HUD application, coordination of other funding opportunities, project and system monitoring, meeting management, etc.

Coordinated/Centralized Intake – A single location or community-wide process for people to apply and be assessed for prevention, housing, housing stabilization and/or other services they need.

Eligible Applicants - Continua of Care lead agencies, or Balance of State (BoS) Continuum of Care approved lead agencies for regional committees, that meet criteria outlined in this RFA.

Eligible Recipients and Sub-recipients - Local governments and nonprofits that meet criteria outlined in this RFA. DHHS licensed facilities are not eligible recipients or sub-recipients.

Emergency Response Activities - Street outreach and emergency shelter activities

Emergency Shelter - Any facility, the primary purpose of which is to provide a temporary shelter for the homeless in general or for specific populations of the homeless which does not require occupants to sign leases or occupancy agreements. For the purposes of this grant, transitional housing funded with FY 2011 funds is included in the Emergency Shelter category.

ESG Entitlement Communities - Communities that receive ESG funds directly from HUD. In North Carolina, there are 5 ESG entitlement communities: Charlotte, Durham, Greensboro, Raleigh, and Winston-Salem.

ESG Lead Agency - The agency that will submit the application and recommendation(s) for ESG funds to the State on behalf of the entire region. In non-Balance of State regions, the ESG Lead Agency and the CoC Lead Agency should be the same organization (ESG lead agencies that are not CoC lead agencies must be approved by the State). BoS regional lead agencies must be approved by the Balance of State CoC.

ESG Match - The dollar for dollar match required by the ESG grant. This match may be achieved through other non-ESG funds, through in-kind services, or through a combination of the two.

Fiscal Sponsor - A unit of local government or 501(c)3 non-profit chosen by the region and approved by the State that will perform, but not be limited to the following tasks:

- contract with the State,
- sub-contract with any other agencies receiving funds within its region,
- distribute funds to sub-contractors,
- submit reimbursement requests to the State, and
- act as the central point of contact for all reporting requirements

Grantee- The State of North Carolina, which receives ESG funds directly from HUD.

Homeless Information Management System (HMIS) - The information system required by HUD to track data about homeless families and individuals in a community. For most of the State, the HMIS is Carolina Homeless Information Network (CHIN).

Housing Stability Activities - Rapid re-housing and targeted prevention activities, these include flexible financial assistance and housing stability activities.

Program Participant - Families and individuals served by the ESG-funded programs.

Rapid Re-housing – A program that is designed to focus on obtaining and maintaining permanent housing through the provision of housing relocation, stabilization services, and rental assistance. Assistance is tailored to household need to help a homeless individual or family move as quickly as possible into permanent housing and achieve stability in housing.

Recipient –An eligible entity that the State of North Carolina contracts with to carry out eligible ESG activities.

Shelter Operations - Maintenance, rent, security, fuel, equipment, insurance, utilities, food, furnishings, and supplies necessary for the operation of an emergency shelter.

Street Outreach - Essential services necessary to reach out to unsheltered homeless people, connect them with emergency shelter, housing, or critical services.

Sub-Recipient – An eligible entity that the State contracts with to carry out eligible ESG activities.

Targeted Prevention – Prevention programs that are designed to provide services and resources to households that are the most likely to become homeless.

Transitional Housing – A program to that facilitates the movement to permanent housing for participants who are willing and able to work towards self-sufficiency by providing shelter and other services that may include meals, laundry, transportation, child care, and counseling/case management for housing, employment, substance abuse, public benefits, and referral to outside services. In general, it is expected that a program should be completed before leaving for permanent housing and the program is expected to last between 6 and 24 months. Transitional Housing provides temporary housing or shelter and individuals count as homeless while in transitional housing.

Un-awarded Funds - ESG dollars that are not requested by or awarded to counties as outlined in the ESG Pro-Rata listing. These funds may be awarded to other ESG-eligible organizations.

C. Eligible Applicants

The State will accept regional applications for ESG funds from Continua of Care lead agencies, or in the Balance of State (BoS) Continuum of Care, lead agencies for the regional committees. Regions will recommend nonprofit or local government agencies from their regions to be recipients of ESG funds. Once approved, these recommended agencies will contract directly with the State or subcontract with the region's Fiscal Sponsor.

D. Eligible Recipients and Sub-recipients

Eligible recipients and sub-recipients for ESG funding are:

1. Units of general local government, including metropolitan entitlement communities that receive direct ESG allocations from HUD

OR

Private 501(c)3 designated nonprofit organizations

Note: Public Housing Authorities (PHAs) and facilities licensed by DHHS are not eligible recipients or subrecipients of ESG funds.

2. All recipients and sub-recipients must be recommended and included in a local Continuum of Care (CoC) or Balance of State (BoS) Continuum of Care Regional Application. Each region is required to select a lead agency that will submit the recommendation for ESG funds to the State on behalf of the entire region. In non-Balance of State regions, the ESG Lead Agency and the CoC Lead Agency should be the same organization.

The ESG Lead Agency will be expected to create and implement a local decision-making process for the distribution of funds that is fair and minimizes conflict of interest. The region's application is encouraged to reflect, if applicable, the community's 10-Year Plan to End Homelessness, CoC Strategic Plan, HEARTH performance measures, the Federal Strategic Plan to Prevent and End Homelessness, and local documented homeless needs.

Applications for funding will not be accepted from local governments or nonprofit organizations separately from the regional application. Applications are limited to one per region, submitted and approved by the CoC lead agency. BoS CoC regions must have CoC lead agency approval (NCCEH).

See the Application Checklist (Attachment 1) for required documentation that recipients must submit to be eligible to receive ESG funds.

E. Eligible Program Participants

Agencies funded with ESG funds are restricted to using those funds and any matching funds to provide services to eligible program participants. The funds under this program are intended to target the following populations of persons facing housing instability:

1. Program participants must have an annual income below 30 percent of area median income (AMI) for the area as determined by HUD. This is verified at intake for prevention activities and at 12 months for rapid re-housing activities. Income limits are available on HUD's web site at: http://www.huduser.org/portal/datasets/il/il2013/select_Geography.odn
2. Individuals and families who are experiencing homelessness according to HUD's definition found in the HEARTH: Defining "Homeless" Final Rule. A summary can be found in Attachment 4 of this application information packet. The definition can be found at: <https://www.onecpd.info/resource/1928/hearth-defining-homeless-final-rule/>
3. Individuals and families who are at risk of becoming homeless, according to HUD's definition in HEARTH: Emergency Solutions Grants Program and Consolidated Plan Conforming Amendments Interim Rule. A summary can be found in Attachment 5 of this application.
 - The definition can be found at: <https://www.onecpd.info/resource/1975/criteria-for-definition-of-at-risk-of-homelessness/>

- The full interim rule can be found at: <https://www.onecpd.info/resource/1927/hearth-esg-program-and-consolidated-plan-conforming-amendments/>

F. Eligible Activities

There are 3 categories of eligible activities and administration:

- Administration
- Emergency Response activities
 - Street Outreach
 - Coordinated or Centralized Intake
 - Emergency Shelter
- Housing Stabilization activities:
 - Targeted Prevention
 - Rapid Re-housing
 - HMIS
 - Coordinated or Centralized Intake

1. *Administration*: provides funding for administrative costs related to the planning and execution of ESG activities. These eligible costs include:

- General management, oversight and coordination
- Training on ESG requirements and attending HUD-sponsored ESG trainings

The State will not know the amount of administrative dollars available until it knows how many agencies will receive ESG funds.

Note: Staff and overhead costs directly related to carrying out eligible services and operating activities (street outreach, HMIS, Emergency Shelter, Rapid Re-Housing and Prevention) are considered program costs, not administration costs, subject to cost principles in OMB Circulars A-87 (2 CFR 225) and A-122 (2 CFR 230). These costs are not subject to the administrative cap.

2. *Street Outreach*: provides emergency care and services to unsheltered persons, including:
 - Engage with and connect unsheltered persons with emergency shelter, housing, or critical services
 - Provide urgent, non-facility-based care to unsheltered homeless people who are unwilling or unable to access emergency shelter, housing, or an appropriate health facility.
 - Provide case management services to assess housing and service needs, arrange, coordinate, and monitor the delivery of individualized services to meet the needs of program participants.
 - Connect persons with emergency health services and/or emergency mental health services.
 - Costs for coordinated intake in a community (these costs may fall outside the limits in Attachment 3)

Please see the information in Attachment 3 for spending limits on street outreach for each region.

3. *Emergency Shelter*: provides funding for costs associated with providing essential services to homeless people in emergency shelters and operating expenses.
 - Essential services include, but are not limited to:

- Case management
- Child care
- Education services
- Employment assistance and job training
- Outpatient health services (if other resources are not available)
- Legal services
- Life skills training
- Mental health services (if other resources are not available)
- Substance abuse treatment (if other resources are not available)
- Transportation
- Shelter operations include, but are not limited to:
 - Rent
 - Security
 - Fuel
 - Equipment
 - Insurance
 - Utilities
 - Food
 - Furnishings
 - Supplies

Please see the information in Attachment 3 for spending limits for emergency shelters and street outreach for each region.

Note: The State of North Carolina’s ESG program does not allow ESG funds to be used for shelter renovation, conversion, or major rehabilitation.

4. *Targeted Prevention:*

Targeted prevention programs are designed to target services and resources to households that are most likely to become homeless. As most households that experience a housing crisis do not become homeless, programs must use historical documentation to create criteria for assessing a household’s risk of becoming homeless. Housing relocation and stabilization services and financial assistance are the two activities that can be used under targeted prevention. Please note that as additional guidance from HUD becomes available, some of the specifics below may change.

1. Housing relocation and stabilization services (24 CFR 576.105) include:

- Housing search and placement: ESG may pay for services or activities necessary to assist program participants in locating, obtaining and retaining suitable permanent housing.
- Housing Stability Case management: ESG may pay the cost of assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability for the program participant in permanent housing or to assist the program participant in overcoming immediate barriers to obtaining housing.
- Mediation: ESG may pay for mediation between the program participant and the owner or person(s) with the program participant is living, provided that the

mediation is necessary to prevent the program participant from losing the permanent housing in which the program participant currently resides.

- Legal services: ESG may pay for hourly fees for legal advice and representation by attorneys licensed and in good standing with the bar and by person(s) under the supervision of the licensed attorney, regarding matters that interfere with the program participant's ability to obtain and retain housing. In addition, funds can pay for landlord/tenant matters and services must be necessary to resolve a legal problem that prohibits the program participant from obtaining permanent housing or will likely result in the program participant losing permanent housing in which the program participant currently resides.
- Credit repair: ESG may pay for credit counseling and other services necessary to assist program participants with critical skills related to household budgeting, managing money, accessing a free personal credit report, and resolving personal credit problems. This assistance does not include the payment or modification of debt.
- Counseling
- Information and referral
- Monitoring and evaluation of progress

Staff providing these stabilization services will be known as Housing Stability Teams.

2. Financial Assistance includes:

- Payment to utility companies and other third parties for the following costs:
 - Rental application fees
 - Security deposits that equal no more than two months' rent
 - Last month's rent
 - Standard utility deposit required by the utility company for gas, electric, water and sewage
 - Utility payments including up to a total of six months of utility and/or rental arrears to support homeless individuals and families in moving as quickly as possible into permanent housing and to achieve stability in that housing
- Moving expenses including truck rental or hiring a moving company, temporary storage fees for up to 3 months, provided that the fees are accrued after the date the program participant begins receiving assistance under 24 CFR 576.105(b) and before the program participant move into permanent housing. Payment of storage fees in arrears is not eligible.
- Tenant-based rental assistance is allowed for up to 24 months in a 36 month period, pending future year funding awards.

5. *Rapid Re-housing:*

Housing relocation and stabilization services and financial assistance are the two activities that can be provided to accomplish rapid re-housing and are the same as the Targeted Prevention activity above, though for homeless, not at-risk populations. Homeless persons that are in Category I or IV of HUD's homeless definition are eligible to receive rapid re-housing services and financial assistance.

6. *HMIS:*

Pays for eligible costs including CoC HMIS costs, established by Carolina Homeless Information Network (CHIN), for the CoC's participation on CHIN, regardless of whether all of the agencies contributing data into the HMIS are receiving other ESG or CoC funds. Other eligible costs include: an HMIS comparable data system, computer equipment, technical support, salaries for operating HMIS.

7. *Centralized/coordinated Intake:*

ESG funds can pay for the cost for the organization to participate in a centralized/coordinated intake system. ESG funds cannot be used to pay for the creation or operation of a centralized/coordinated intake system.

Note: The State of North Carolina's ESG program does not allow ESG funds to be used for shelter renovation, conversion, or major rehabilitation.

Note: Staff and overhead costs directly related to carrying out eligible services and operating activities (street outreach, HMIS, Emergency Shelter, Rapid Re-Housing and Prevention) are considered program costs, not administration costs, subject to cost principles in OMB Circulars A-87 (2 CFR 225) and A-122 (2 CFR 230). These costs are not subject to the administrative cap.

Section II. Funding

A. Available Funding

The State has **\$3,582,844** in ESG funding to allocate to applications in response to the Request for Applications (RFA). **\$3,511,187 (98%)** is made available to communities with existing contracts, based upon the percentage of total funds received last year (see **Attachment 2** for distribution of funds). **\$71,657 (2%)** is reserved for new communities and/or high scoring applications.

B. Budget

The funds can be used for the activities named above in the **Eligible Activities** section.

The table in **Attachment 2** shows the total amount available to each region/CoC based on maintenance of effort percentage of the smaller allocation of funds available for this year.

Emergency Response Activities: Emergency Shelter and Street Outreach

This funding cycle, there are less funds available and in an effort to hold harmless the funding for emergency response activities, the NC ESG program is using the amount awarded in the 2012 contract as the maximum that each region may spend on Emergency Response activities. This information is in **Attachment 2**.

Each region will be able to recommend funding for agencies to receive Emergency Shelter or Street Outreach funding at a level that is equal to or less than that region's FY12 allocation, except in instances that the total amount of FY13 funding is less than the FY12 Emergency Response amount. In those instances, the total FY13 allocation can be spent on Emergency Response activities.

Per federal rules, the maximum amount of funds that regions may spend on any transitional housing programs is equal to the amount that that program received in the FY11 first allocation. There can be no increase in the funding for transitional programs and no new or different programs can be funded.

For example, if Transitional Housing Program A was funded for \$10,000 and Transitional Housing Program B was funded for \$5,000, those are the maximum amounts that those programs are eligible for in FY13. Regions can decide to decrease the amount spent on transitional housing and allocate those dollars toward other eligible activities.

C. Funding Priorities:

Emergency Response System

Additional funding priorities enable emergency and transitional housing programs to receive funding in FY13 for emergency shelter, transitional housing and street outreach (not to exceed the allocated amount of funding received in FY11). No new transitional housing programs can be recommended for funding through this RFA, transitional housing programs can only be recommended if they were awarded funds with the FY11 first allocation dollars. Please note that although funds are being made available for transitional housing for FY13, HUD is strongly discouraging the use of ESG funds for this activity. Facilities licensed by DHHS are not eligible for ESG funding.

The State encourages use of emergency shelter funds to support facilities linked to centralized or coordinated intake and rapid re-housing services.

Housing Stabilization System

Following federal guidance, the State prioritizes rapid re-housing and HMIS activities as opposed to prevention with its housing stability funding. Applications for initiatives aimed specifically at reducing the amount of time an individual or family spends homeless in an emergency or transitional shelter are preferred, as this is considered a best practice. If applying for targeted prevention funds, the program must focus on a specific population or geographic area.

D. Distribution of Funds

The funds will be distributed using the following process:

- Each community must apply to the State through a regional application. All CoCs except the Balance of State CoC, will apply through one regional application. The Balance of State CoC will apply through multiple regional applications, though only one application per region will be accepted. Balance of State regional applications will need to be approved by the process that is established by the Balance of State leadership.
- Each region is responsible for setting local funding priorities, working with community members and applicants to establish local recommendations, and submitting a single community-wide application for funding.
- Each region is required to select a lead agency that will submit the recommendation for ESG funds to the State on behalf of the entire region. In non-Balance of State regions, the ESG Lead Agency and the CoC Lead Agency should be the same organization. The ESG Lead Agency will be expected to create and implement a local decision-making process for the distribution of funds that is fair and minimizes conflict of interest. The region's application is encouraged to reflect, if

applicable, the community's 10-Year Plan to End Homelessness, CoC Strategic Plan, HEARTH performance measures, the Federal Strategic Plan to Prevent and End Homelessness, and local documented homeless needs.

- The State has established an initial amount of funding that each region is eligible to apply for, called an ESG Pro Rata Amount. The amount of funds available to each region is based on the percentage of overall funds that region received in the previous year. (see **Attachment 2**).
- ESG entitlement jurisdictions are eligible to receive ESG funding from the State.
- The FY13 allocation can be used for rapid re-housing, emergency shelter, street outreach, limited coordinated or centralized intake activities, HMIS, and targeted prevention.
- Funds that have not been spent by the end of the fiscal year will stay with the region where they were allocated. The region will decide how to spend the unspent funds.
- Please refer to **Attachment 2-Distribution of ESG funds by CoC/Region** for the amounts of funding available for each Region in FY13.
- Regions are required to apply and meet the scoring threshold criteria (see "Threshold Criteria" on p. 18 of this application) in order to receive their ESG Pro Rata amounts.
- The State has the right to request additional information or amendments to applications for this process.

E. Distribution of Un-Awarded Funds

In the event that regions do not apply for the full ESG Pro Rata amount available or do not meet the State's criteria, the State will allocate any un-awarded funds to other regions at its discretion.

In allocating funds, the State will consider how funds will impact the State's ability to meet its ESG program goals, including, but not limited to:

- Assist people to quickly regain stability in permanent housing after experiencing a housing crisis and/or homelessness
- Position NC to maximize access to additional federal, state, and local resources, including ensuring CoCs' ability to be competitive for funding under HEARTH
- Involve Continua of Care in funding decisions
- Consider program outcomes and HEARTH performance measures in funding decisions
- Incentivize rapid re-housing programs
- Assist in retooling the emergency response system and move NC towards ending homelessness
- Continue to support current crisis services infrastructure (shelters and transitional housing) to ensure a smooth transition during retooling
- Further goals of the Federal Strategic Plan to Prevent and End Homelessness and local 10-Year Plans
- Promote ESG as a system-level resource instead of funding individual programs in isolation
- Timely expenditure of ESG funds
- Streamline State contracts by using a fiscal sponsor for the region

In order to determine which regions will receive additional funding to meet these goals, the State will consider several factors, including, but not limited to, the completeness, thoroughness, and quality of the regional applications. In addition, the State will take the CoCs' governance structures, such as efforts to minimize conflict of interest, into account. The State may request additional information from lead agencies prior to making decisions about distribution of un-awarded funds.

F. Fiscal Sponsor

Background

The State has created a process for identifying a regional Fiscal Sponsor. The State's goal is to eventually have one Fiscal Sponsor in each region. A region's Fiscal Sponsor must be approved by the State. Multiple regions may have the same Fiscal Sponsor. The State will approve a Fiscal Sponsor based on established financial capacity and oversight standards.

The State does not require a Fiscal Sponsor for the FY13 funds, but does encourage communities to use a Fiscal Sponsor for these funds. In regions where a Fiscal Sponsor is not identified or there is not an organization with the financial infrastructure to administer all sub-contracts to participating local agencies within the region, the State will continue to administer contracts directly with the local agencies.

Fiscal Sponsor Role

The region may choose the same agency to serve as the ESG Lead Agency and the Fiscal Sponsor or it may choose separate agencies for these roles. If a Fiscal Sponsor is chosen, it will serve a region or multiple regions and all funded projects within the region(s). The Fiscal Sponsor must be a unit of local government or 501(c)3 non-profit.

The Fiscal Sponsor's activities will include, but are not limited to:

- Holding the regional ESG contract with the State,
- Sub-contracting with all other ESG agencies in the region,
- Submitting reimbursement requests to the State on behalf of the region,
- Reimbursing ESG sub-contractors for eligible ESG activities
- Acting as the central point of contact for all reporting requirements

Although Fiscal Sponsors are encouraged to monitor sub-recipients, the State will provide sub-recipient monitoring as part of its administrative oversight of the ESG program.

Fiscal Sponsors are responsible for reimbursing any sub-recipient agencies for ESG eligible expenses covered in the contractual budget. The Fiscal Sponsor has the option of advancing funds to a sub-recipient agency, but the State will not advance funds. The Fiscal Sponsor will be responsible for ensuring that client data related to any reimbursement has been entered into HMIS before requesting reimbursement. If a region has a Fiscal Sponsor, all administrative dollars will go to the Fiscal Sponsor rather than individual agencies.

Fiscal Sponsors may also provide some of the ESG-funded services directly. Fiscal Sponsors are expected to work in partnership with the ESG Lead Agency if they are different.

G. General Program Requirements

The following are general program requirements. Applicants should be aware that there may be additional requirements based on future US Dept. of HUD guidance on the ESG program.

- Program participants must agree to meet with a case manager at least once per month to assist the program participants in ensuring long-term housing stability, unless prohibited by the Violence Against Women Act of 1994 or the Family Violence Prevention and Services Act. At the discretion of the case manager, some meetings may be conducted via phone or teleconference/webcam when appropriate.
- Income verification:
 - Targeted Prevention: Income must be verified at intake and every three (3) months thereafter.
 - Rapid Re-Housing: Income must be verified when the program participant has been in the program 12 months and annually thereafter, but income verification is not required at program intake.
- Program participants must agree to participate with the funded local provider in developing a Housing Stability Plan to assist the program participants to retain permanent housing after the ESG assistance ends. This plan will take into account all relevant considerations, such as the program participants' current or expected income and expenses; other public or private assistance for which the program participants will be eligible and are likely to receive; and the relative affordability of available housing in the area.
- Regions that develop additional program participant eligibility criteria must have those criteria approved by the State prior to implementation. Criteria may be used to narrow the program participant eligibility requirements, but not broaden them. Based on US Dept. of HUD priorities, communities will be cautioned against targeting only those persons who are considered "easiest to serve" and likely able to obtain and maintain stable housing without needing rapid re-housing services. Communities will be encouraged to target households needing the level of services and assistance possible with the rapid re-housing program.
- Providers must have an appeals policy and process for program participants who are denied assistance or terminated. As part of the process, program participants must be able to request an appeal verbally or in writing. Providers must document the reasons that non-qualifying program participants do not qualify for assistance and reasons for termination of qualifying program participants. Persons who are terminated must receive notification of termination in writing and be told of the appeals process in writing.

I. Advances from the State

The State will not advance any ESG funds.

Section III. Data Collection/Outcomes

A. Data Collection

The State remains committed to aggregating statewide data. To reach this goal, grantees will use the Carolina Homeless Information Network (CHIN) for their Homeless Management Information System (HMIS) or ensure that all data needed for program evaluation and required reports is available to integrate into the CHIN system in a timely manner. Failure to do so may result in payback of ESG funds. Agencies that are exempt from the HMIS participation requirement (i.e. domestic violence agencies) must meet separate reporting requirements that make their data available to the State for all State and Federal reporting and evaluations.

If a community does not use CHIN for its HMIS system the community will have to provide a detailed description of how it will ensure that the State will have timely, accurate and complete data from that community's existing HMIS merged into the CHIN system, via a data-dump, on a regular basis and in time for the State to produce any HUD required reports. An inability to meet the requirements will result in a financial penalty to the participating community.

B. Program Outcomes:

The State will expect sub-grantees to measure and report on the outcomes of rapid re-housing and prevention assistance using the statewide HMIS system, except those that are exempt from the HMIS participation requirement (i.e. domestic violence agencies). Required reporting includes, but is not limited to, all information required by HUD reporting for the ESG program.

1. Housing Stabilization

Performance measures for both prevention and rapid re-housing are likely to include, but may not be limited to:

- Percentage of program participants who are permanently housed at program exit, at 6 months after program exit, and at 12 months after program exit
- Increases in income from benefits or employment
- Documented linkages to mainstream services such as SSI/SSDI, TANF, food stamps, mental health services, medical care services, prescriptions, child care, employment programs, and education programs
- Rates of return (for rapid re-housing) or subsequent entry (for prevention) to the homeless emergency system
- For rapid re-housing, the State will also measure:
 - Impact on average length of stay in the homeless emergency system compared to other CoCs or prior year rates
 - Movement between shelters prior to placement in permanent housing

2. Emergency Response

Performance measures for Emergency Shelter and Street Outreach are likely to include, but may not be limited to:

- Length of stay in homeless services by persons served by the shelter
- Timeliness of connection to the Housing Stability Team

C. Reporting

At this time, the State does not know the extent of reports required by HUD. As soon as that information is available, the State will share it with potential applicants or agencies under contract. Please see **Attachment 13-Current Reporting Requirements** to see what information on reporting HUD has provided to date.

Section IV. Application Submission Information

A. Application Deadlines

Applications in response to the RFA must be received by the State by 5 PM on **Wednesday, August 21, 2013**. All applications received, except late applications, will be reviewed. Late applications will not be reviewed. It is the objective of the State to distribute the funds widely across the state.

Please note that each region should submit **one** Regional application and separate Program applications for **each** of the agencies recommended for funding. Please see the Application Checklist (Attachment 1) for a complete list of all information that must be submitted with the Regional and Program applications.

Applicants should submit one original and one copy of the complete application (regional application, project application(s), and all attachments) in separate 3-ring binders, with tabs as indicated on the Application Checklist (Attachment 1). Please submit the original and copy to:

Michael Leach
DHHS-DAAS
2101 Mail Service Center
Raleigh, NC 27699-2101

In the process of administering this program, DHHS will make decisions and interpretations regarding project applications. DHHS is entitled to the full discretion allowed by law in making all such decisions and interpretations. DHHS reserves the right to request additional information from any applicant. DHHS reserves the right to reject any and all applications received. DHHS reserves the right to amend, modify, or withdraw provisions contained in this application that are inconsistent or in conflict with state or federal laws or regulations. All applications for ESG funding become the property of DHHS.

The State expects to make funding decisions and award notification by Friday, September 20, 2013 and have recipient contracts in place by Monday, September 30, 2013.

B. Application Q&A Webinars

Applicants are invited to participate in the two free webinars held by the State to offer technical assistance and answer questions for organizations developing ESG applications. The webinars will be held:

Thursday, July 25, 10:00 AM-12:00 Noon
Thursday, August 8, 2:00 PM-4:00 PM

The link for the webinars is: <https://dhhs.ncgovconnect.com/esg>

The State will also make an FAQ document available in order to assist applicants in preparing their applications. The document will be posted at: <http://www.ncdhhs.gov/aging/esbg/index.htm>

C. Recipient & Sub-Recipient Trainings

The State will provide trainings for the recipients and sub-recipients on program requirements and program implementation. The trainings will be mandatory for recipients whose applications are funded, details of the trainings will be provided at a later date.

Section V. Application Guidelines

A. Process for Evaluating Applications:

Staff will review each application according to the threshold requirements listed below in order to make funding decisions. CoCs that have complete applications and meet threshold requirements are eligible for funding. Incomplete applications will not be considered.

Applications will only be accepted from regional lead agencies, the State will not accept applications directly from nonprofit or local government organizations.

B. Threshold Requirements: For a proposal to be eligible for receiving funds, the State must determine that the following threshold criteria have been met.

- Applications must be submitted by a region's ESG Lead Agency
- Regions must propose eligible activities for eligible populations
- The organizations recommended for funding must be nonprofits with a 501(c)3 status or local governments and eligible contractors for HUD funds and State funds. The organization(s) must not be debarred from receiving federal or state funds nor under any current sanctions related to federal or state funding, as indicated on NCGrants.gov
- Organizations recommended for funding must have a specific non-ESG source identified for the required match
- Organizations must have satisfactory organizational status, experience, and capacity to implement and operate the project
- Requests for funds must not exceed pro-rata share as shown in **Attachment 2**
- Requests for funds for emergency shelter, street outreach and transitional housing must not exceed amounts in the FY12 contracts
- Applications must be complete, including all appropriate signatures and required attachments. NC DHHS staff reserves the right to ask clarifying questions on application materials submitted, however, incomplete applications will not be reviewed
- Applications must have all required local approvals in place before submission
- The local selection process must take reasonable steps to limit conflict of interest
- Applications must be received by the deadline. Late applications will not be reviewed

C. Application Evaluation Criteria: The State may use additional criteria to make final decisions. The State retains the right to reject proposals that do not meet threshold criteria, negotiate program features, terms and funding amounts and the right to recapture funds and reallocate if a recipient is unable to meet ESG program requirements. Evaluation criteria include:

- Strategies for reducing the length of stay in emergency housing. CoCs/regions that have and are using strategies to reduce length of stay in emergency housing will have priority.
- The number of transitional housing slots as opposed to the number of rapid re-housing slots in a region. Regions that are making the shift away from transitional housing and toward rapid re-housing will have priority.

- Rapid re-housing activities vs, prevention activities. Rapid re-housing activities have priority for funding over prevention activities.
- The rapid re-housing experience in a region.
- Capacity of the organizations recommended by the region to carry out the activities for which they will be funded.
- Financial and reporting capacity of the region, including the ability to enter data into HMIS in an accurate and timely manner.

Section VI. Attachments

Attachment 1 – Application Checklist

For CoC/Region (Region does not have to submit documents that are available on the NCCEH website):

Tab A	Signed, completed Regional application (Word document)
Tab B	Regional budget worksheet (Excel spreadsheet)
Tab C	Online link to CoC Exhibit One
Tab D	Housing Inventory Chart
Tab E	2013 Point in Time Count Form
Tab F	CoC Action Plan from CoC Check-up (if the CoC submitted one to HUD)
Tab G	Materials used to solicit and evaluate ESG project applications
Tab H	Formal or informal agreements with mainstream resources

For Project Applicants Only:

Note: Each project must be submitted with separate, lettered tabs. Each project application (Tab I) must be submitted in the application binder with the tabs for that project following it. For example, Tab I for Project A will be followed by Tab J for Project A, then Tab K for Project A, until all tabs for Project A are included in the binder in order. Next in the binder is Tab I for Project B, followed by Tab J for Project B, Tab K for Project B and so forth. If more than one project is submitted, there will be more than one tab of each letter submitted in the binder.

Tab I	Signed, completed Project application (Word document)
Tab J	Project budget worksheet (Excel spreadsheet)
Tab K	NC DHHS Required Contract Forms 1. Federal Certifications (Attachment 6) 2. State Certification (Attachment 9)
Tab L	A copy of the HMIS contract between the applicant organization and the HMIS provider
Tab M	Matching funds form (see Attachment 5)
Tab N	Program rules
Tab O	Program Intake Form

For Nonprofit Organizations Only (Project and Fiscal Sponsor Applicants):

Tab P	Organizational Chart
Tab Q	Current year operating budget
Tab R	<p>NC DHHS Required Nonprofit Contract Forms (these are in addition to the forms required under Tab K above):</p> <ol style="list-style-type: none">1. No Overdue Taxes Certification Form (Attachment 7)2. Annual IRS Tax Exemption Verification Form (Attachment 8)3. Conflict of Interest Acknowledgement and Policy (Attachment 10)4. Annual Conflict of Interest Verification (Attachment 11)5. Annual 501(c)3 Verification (Attachment 12)6. IRS tax exemption verification form, if not previously submitted
Tab S	Articles of Incorporation, Bylaws and any applicable amendments
Tab T	List of names, addresses, telephone numbers and terms of office of current members of the applicant organization's voluntary board of directors with officers identified including the name and contact of the Board Member that is a homeless or formerly homeless person.
Tab U	Most recent audit report OR sworn accounting of receipts and expenditures for applicant's previous fiscal year
Tab V	Appeals policy and process

Attachment 2-Distribution of ESG Funds by CoC/Region

Region	Maximum amount of total ESG funding available * (for Emergency Response and Housing Stability combined)	Maximum for Emergency Response (No more than this capped amount)	Minimum for Housing Stability (At least this much, but can be more)
Alamance	\$71,833	\$42,425	\$29,408
AHRMM	\$30,922	\$30,922	\$0
Beaufort	\$3,634	\$3,634	\$0
Buncombe CoC	\$141,382	\$65,886	\$75,496
Burke	\$43,297	\$28,445	\$14,852
Carteret	\$37,737	\$7,111	\$30,626
Catawba	\$80,272	\$75,658	\$4,614
Chatham	\$36,484	\$7,111	\$29,373
Craven	\$23,272	\$18,880	\$4,392
Cumberland CoC	\$143,341	\$50,451	\$92,890
Davie, Iredell, Stokes, Surry, Yadkin	\$129,215	\$79,292	\$49,923
Durham CoC	\$130,935	\$100,263	\$30,672
Eastpointe (Bladen, Columbus, Duplin, Edgecombe, Lenoir, Nash, Robeson, Sampson, Scotland, Wayne)	\$107,169	\$85,545	\$21,624
Foothills	\$69,051	\$56,891	\$12,160
Forsyth CoC	\$198,598	\$151,793	\$46,805
Gaston CoC	\$102,048	\$98,490	\$3,558
Guilford CoC	\$205,511	\$97,565	\$107,946
Henderson	\$30,938	\$0	\$30,968
Jacksonville/Onslow	\$54,622	\$0	\$54,622
Johnston	\$61,372	\$7,111	\$54,261
Kerr-Tar	\$50,406	\$7,111	\$43,295
Lee	\$36,611	\$7,111	\$29,500
Mecklenburg CoC	\$307,867	\$177,073	\$130,794
NCEH (Camden, Currituck, Dare, Gates, Pasquotank, Perquimans, and Tyrrell)	\$20,939	\$17,778	\$3,161
Northwest CoC	\$95,369	\$28,405	\$66,964
Orange CoC	\$105,564	\$59,615	\$45,949
Piedmont Regional Committee	\$243,072	\$160,682	\$82,390
Pitt County	\$74,520	\$47,111	\$27,409
Randolph	\$57,080	\$0	\$57,080
Rockingham	\$64,135	\$0	\$64,135
Southwest	\$82,979	\$46,221	\$36,758
Transylvania	\$43,453	\$0	\$43,453
Wake CoC	\$367,353	\$203,385	\$163,968
Wilmington CoC	\$170,120	\$134,966	\$35,154
Wilson-Greene	\$62,101	\$21,335	\$40,766
Areas not funded in FY12-13	\$71,657	\$0	\$71,657

*Maximum funding amounts for FY13-14 are based on FY12-13 awards

Attachment 3-HUD's Definition of Homelessness

24 CFR Parts 91, 582, 583

The four categories under which families and individuals may qualify as homeless are:	Rapid Re-housing	Shelter
1. Individuals and families who lack a fixed, regular, and adequate nighttime residence and includes a subset for an individual who resided in an emergency shelter or a place not meant for human habitation and who is exiting an institution where he or she temporarily resided;	X	X
2. Individuals and families who will imminently lose their primary nighttime residence;		X
3. Unaccompanied youth and families with children and youth who are defined as homeless under other federal statutes who do not otherwise qualify as homeless under this definition; and		X
4. Individuals and families who are fleeing, or are attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member	X	X

Attachment 4-HUD's Definition of At-Risk of Homelessness

1. An individual or family who:
 - a. Has an annual income below 30% of median family income for the area; AND
 - b. Does not have sufficient resources or support networks immediately available to prevent them from moving to an emergency shelter or another place defined in Category 1 of the "homeless" definition; AND
 - c. Meets one of the following conditions:
 - i. Has moved because of economic reasons 2 or more times during the 60 days immediately preceding the application for assistance; OR
 - ii. Is living in the home of another because of economic hardship; OR
 - iii. Has been notified that their right to occupy their current housing or living situation will be terminated within 21 days after the date of the application for assistance; OR
 - iv. Lives in a hotel or motel and the cost is not paid for by charitable organizations or by Federal, State, or local government programs for low-income individuals; OR
 - v. Lives in an SRO or efficiency apartment unit in which there reside more than 2 persons or lives in a larger housing unit in which there reside more than one and a half persons per room; OR
 - vi. Is exiting a publicly funded institution or system of care; OR
 - vii. Otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness, as identified in the recipient's approved Consolidated Plan
2. Unaccompanied Children and Youth:

A child or youth who does not qualify as homeless under the homeless definition, but qualifies as homeless under another Federal statute
3. Families with Children and Youth:

An unaccompanied youth who does not qualify as homeless under the homeless definition, but qualifies as homeless under section 725(2) of the McKinney-Vento Homeless Assistance Act, and the parent(s) or guardian(s) or that child or youth if living with him or her.

Attachment 5– Matching Funds Form

Please indicate below the source(s) and amount of funds to be used to match the ESG funds received by your organization. Matching funds must:

- At minimum, be equal to the amount of ESG funds allocated. ***These funds must be provided after the start date of the grant award and may not be used to match another grant during the same period.***
- Be from a non-ESG source
- Be used to fund eligible ESG activities

Additionally, following this sheet, **please attach documentation** of the availability of matching funds for the proposed project as described below.

- If funds received from units of local government, churches, foundations, United Way, or state government agencies will be used to match ESG funds, attach copies of funding award and/or commitment letters from these sources on their official letterhead and signed by their authorized official.
- If the value of donated volunteer hours, donations from businesses or individuals, client rent/boarder fees or client program service fees will be used to match ESG funds, the applicant organization must provide a letter on its official letterhead signed by its board chairperson describing the records which will be maintained on these match sources, the total amount of the match expected to be received and, in the case of volunteer hours, the number of hours expected to be donated. For the purpose of matching ESG Program funds, volunteer hours are valued at the amount a paid staff member doing the same work earns per hour.
- If the value of a donated building or any lease will be used to match ESG funds, provide documentation of the fair market value of the building or lease.
- If staff salaries are used to match ESG funds, the source of the funds for these salaries should be identified by the applicant organization in a letter on its official letterhead and signed by its board chairperson.

<u>Source of Matching Funds</u>	<u>Amount</u>
<u>Other Non-ESG HUD Funds:</u> _____	\$ _____
<u>Other Federal Funds:</u> _____	\$ _____
<u>State Government:</u> _____	\$ _____
<u>Local Government:</u> _____	\$ _____
<u>Private Funds:</u> _____	\$ _____
<u>Other:</u> _____	\$ _____
<u>Fees:</u> _____	\$ _____
<u>Program Income:</u> _____	\$ _____
TOTAL	\$ _____

Attachment 6-Federal Certifications Combined Form

FEDERAL CERTIFICATIONS

The undersigned states that:

1. He or she is the duly authorized representative of the Contractor named below;
2. He or she is authorized to make, and does hereby make, the following certifications on behalf of the Contractor, as set out herein:
 - a. The Certification Regarding Nondiscrimination;
 - b. The Certification Regarding Drug-Free Workplace Requirements;
 - c. The Certification Regarding Environmental Tobacco Smoke;
 - d. The Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions; and
 - e. The Certification Regarding Lobbying;
3. He or she has completed the Certification Regarding Drug-Free Workplace Requirements by providing the addresses at which the contract work will be performed;
4. [Check the applicable statement]
 - [] He or she has completed the attached Disclosure Of Lobbying Activities because the Contractor has made, or has an agreement to make, a payment to a lobbying entity for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action;
 - OR
 - [] He or she has not completed the attached Disclosure Of Lobbying Activities because the Contractor has not made, and has no agreement to make, any payment to any lobbying entity for influencing or attempting to influence any officer or employee of any agency, any Member of Congress, any officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action.
5. The Contractor shall require its subcontractors, if any, to make the same certifications and disclosure.

Signature

Title

Contractor Name

Date

[This Certification Must be Signed by the Same Individual Who Signed the Proposal Execution Page]

I. Certification Regarding Nondiscrimination

The Contractor certifies that it will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of

1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (h) the Food Stamp Act and USDA policy, which prohibit discrimination on the basis of religion and political beliefs; and (i) the requirements of any other nondiscrimination statutes which may apply to this Agreement.II. Certification Regarding Drug-Free Workplace Requirements

1. The Contractor certifies that it will provide a drug-free workplace by:

- a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- b. Establishing a drug-free awareness program to inform employees about:
 - i. The dangers of drug abuse in the workplace;
 - ii. The Contractor's policy of maintaining a drug-free workplace;
 - iii. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - iv. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- c. Making it a requirement that each employee be engaged in the performance of the agreement be given a copy of the statement required by paragraph (a);
- d. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the agreement, the employee will:
 - i. Abide by the terms of the statement; and
 - ii. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- e. Notifying the Department within ten days after receiving notice under subparagraph (d)(ii) from an employee or otherwise receiving actual notice of such conviction;
- f. Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(ii), with respect to any employee who is so convicted:
 - i. Taking appropriate personnel action against such an employee, up to and including termination; or
 - ii. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and

- g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
2. The sites for the performance of work done in connection with the specific agreement are listed below (list all sites; add additional pages if necessary):

Address

Street

City, State, Zip Code

Street

City, State, Zip Code

3. Contractor will inform the Department of any additional sites for performance of work under this agreement.
4. False certification or violation of the certification may be grounds for suspension of payment, suspension or termination of grants, or government-wide Federal suspension or debarment. 45 C.F.R. 82.510.

III. Certification Regarding Environmental Tobacco Smoke

Public Law 103-227, Part C-Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000.00 per day and/or the imposition of an administrative compliance order on the responsible entity.

The Contractor certifies that it will comply with the requirements of the Act. The Contractor further agrees that it will require the language of this certification be included in any subawards that contain provisions for children's services and that all subgrantees shall certify accordingly.

IV. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions

Instructions

[The phrase "prospective lower tier participant" means the Contractor.]

1. By signing and submitting this document, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of the fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originate may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant will provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549, 45 CFR Part 76. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter any lower tier covered transaction with a person who is debarred, suspended, determined ineligible or voluntarily excluded from participation in this covered transaction unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this document that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-- Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized in paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension, and/or debarment.

Certification

1. The prospective lower tier participant certifies, by submission of this document, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

V. Certification Regarding Lobbying

The Contractor certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federally funded contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form SF-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award document for subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) who receive federal funds of \$100,000.00 or more and that all subrecipients shall certify and disclose accordingly.
4. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.

VI. Disclosure Of Lobbying Activities

Instructions

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or sub-award recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in Item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (Item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal Identifying number available for the Federal action identified in Item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in Item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in Item 4 to influence the covered Federal action.
- (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate boxes. Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate boxes. Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D. C. 20503

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

34

16. Information requested through this form is authorized by title 31 U. S. C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U. S. C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature: _____

Print Name: _____

Title: _____

Telephone No: _____ Date: _____

Federal Use Only

Authorized for Local Reproduction
Standard Form - LLL

Attachment 7-No Overdue Tax Certification Form

State Grant Certification – No Overdue Tax Debts

Instructions: **Grantee/Provider** should complete this certification for all state funds received. Entity should enter appropriate data in the yellow highlighted areas. The completed and signed form should be provided to the state agency funding the grant to be attached to the contract for the grant funds. A copy of this form, along with the completed contract, should be kept by the funding agency and available for review by the Office of State Budget and Management.

Note: If you have a contract that extends more than one state fiscal year, you will need to obtain an updated certification for each year of the contract.

Entity's Letterhead

[Date of Certification (mmddyyyy)]

To: State Agency Head and Chief Fiscal Officer

Certification:

We certify that the **[insert organization's name]** does not have any overdue tax debts, as defined by N.C.G.S. 105-243.1, at the federal, State, or local level. We further understand that any person who makes a false statement in violation of N.C.G.S. 143C-6-23(c) is guilty of a criminal offense punishable as provided by N.C.G.S.) 143C-10-1b.

Sworn Statement:

[Name of Board Chair] and **[Name of Second Authorizing Official]** being duly sworn, say that we are the Board Chair and **[Title of the Second Authorizing Official]**, respectively, of **[insert name of organization]** of **[City]** in the State of **[Name of State]**; and that the foregoing certification is true, accurate and complete to the best of our knowledge and was made and subscribed by us. We also acknowledge and understand that any misuse of State funds will be reported to the appropriate authorities for further action.

Board Chair

[Title of Second Authorizing Official]

Sworn to and subscribed before me on the day of the date of said certification.

My Commission Expires: _____

(Notary Signature and Seal)

If there are any questions, please contact the state agency that provided your grant. If needed, you may contact the North Carolina Office of State Budget and Management:
NCGrants@osbm.nc.gov-(919)807-4795

¹ G.S. 105-243.1 defines: Overdue tax debt. – Any part of a tax debt that remains unpaid 90 days or more after the notice of final assessment was mailed to the taxpayer. The term does not include a tax debt, however, if the taxpayer entered into an installment agreement for the tax debt under G.S. 105-237 within 90 days after the notice of final assessment was mailed and has not failed to make any payments due under the installment agreement.”

Attachment 8-Annual IRS Tax Exemption Verification Form

VERIFICATION OF 501 (C) (3) STATUS

We, the undersigned entity, hereby testify that the 501 (c) (3) status is on file with the North Carolina Department of Health and Human Services is still in effect.

Name of Agency _____

Chairman, Executive Director, or other Authorized Official

Sworn to and subscribed before me, this _____ day of _____.

Notary Public

My Commission expires: _____

Attachment 9-State Certification

State Certification

Contractor Certifications Required by North Carolina Law

Instructions

The person who signs this document should read the text of the statutes cited herein and consult with counsel and other knowledgeable persons before signing. The text of G.S. 143-59.1 can be found online at:

http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_143/GS_143-59.1.pdf

The text of G.S. 143-59.2 can be found online at:

http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_143/GS_143-59.2.pdf

The text of G.S. 105-164.8(b) can be found online at:

http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_105/GS_105-164.8.pdf

Certifications

(1) Pursuant to G.S. 143-59.1(b), the undersigned hereby certifies that the Contractor named below is not an “ineligible Contractor” as set forth in G.S. 143-59.1(a) because:

(a) Neither the Contractor nor any of its affiliates has refused to collect the use tax levied under Article 5 of Chapter 105 of the General Statutes on its sales delivered to North Carolina when the sales met one or more of the conditions of G.S. 105-164.8(b); and

(b) [check one of the following boxes]

☐ Neither the Contractor nor any of its affiliates has incorporated or reincorporated in a “tax haven country” as set forth in G.S. 143-59.1(c)(2) after December 31, 2001; or

☐ The Contractor or one of its affiliates has incorporated or reincorporated in a “tax haven country” as set forth in G.S. 143-59.1(c)(2) after December 31, 2001 but the United States is not the principal market for the public trading of the stock of the corporation incorporated in the tax haven country.

(2) Pursuant to G.S. 143-59.2(b), the undersigned hereby certifies that none of the

Contractor's officers, directors, or owners (if the Contractor is an unincorporated business entity) has been convicted of any violation of Chapter 78A of the General Statutes or the Securities Act of 1933 or the Securities Exchange Act of 1934 within 10 years immediately prior to the date of the bid solicitation.

(3) The Contractor shall require its subcontractors, if any, to make the same certifications before they perform any work under the contract.

(4) The undersigned hereby certifies further that:

6. He or she is a duly authorized representative of the Contractor named below;

7. He or she is authorized to make, and does hereby make, the foregoing certifications on behalf of the Contractor; and

8. He or she understands that any person who knowingly submits a false certification shall be guilty of a Class I felony.

Contractor's Name

Signature of Contractor's Authorized Agent

Date

Printed Name of Contractor's Authorized Agent

Title

Signature of Witness

Title

Printed Name of Witness

Date

The witness should be present when the Contractor's Authorized Agent signs this certification and should sign and date this document immediately thereafter.

Attachment 10

CONFLICT OF INTEREST ACKNOWLEDGEMENT AND POLICY

State of _____

County _____

I, _____, Notary Public for said County and State, certify
that

_____ personally appeared before me this day and
acknowledged

that he/she is _____ of
_____ [name of Organization]

and by that authority duly given and as the act of the Organization, affirmed that the foregoing Conflict of
Interest Policy was adopted by the Board of Directors/Trustees or other governing body in a meeting held
on the _____ day of _____, _____.

Sworn to and subscribed before me this _____ day of _____, _____.

(Official Seal)

Notary Public

My Commission expires _____, 20 ____

.....
Instruction for Organization:

Sign and attach the following pages after adopted by the Board of Directors/Trustees or other governing body OR replace the following with the current adopted conflict of interest policy.

Name of Organization

Signature of Organization Official

Conflict of Interest Policy Example

The Board of Directors/Trustees or other governing persons, officers, employees or agents are to avoid any conflict of interest, even the appearance of a conflict of interest. The Organization's Board of Directors/Trustees or other governing body, officers, staff and agents are obligated to always act in the best interest of the organization. This obligation requires that any Board member or other governing person, officer, employee or agent, in the performance of Organization duties, seek only the furtherance of the Organization mission. At all times, Board members or other governing persons, officers, employees or agents, are prohibited from using their job title, the Organization's name or property, for private profit or benefit.

A. The Board members or other governing persons, officers, employees, or agents of the Organization should neither solicit nor accept gratuities, favors, or anything of monetary value from current or potential contractors/vendors, persons receiving benefits from the Organization or persons who may benefit from the actions of any Board member or other governing person, officer, employee or agent. This is not intended to preclude bona-fide Organization fund raising-activities.

B. A Board or other governing body member may, with the approval of Board or other governing body, receive honoraria for lectures and other such activities while not acting in any official capacity for the Organization. Officers may, with the approval of the Board or other governing body, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. Employees may, with the prior written approval of their supervisor, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. If a Board or other governing body member, officer, employee or agent is acting in any official capacity, honoraria received in connection with activities relating to the Organization are to be paid to the Organization.

C. No Board member or other governing person, officer, employee, or agent of the Organization shall participate in the selection, award, or administration of a purchase or contract with a vendor where, to his knowledge, any of the following has a financial interest in that purchase or contract:

1. The Board member or other governing person, officer, employee, or agent;
2. Any member of their family by whole or half blood, step or personal relationship or relative-in-law;
3. An organization in which any of the above is an officer, director, or employee;
4. A person or organization with whom any of the above individuals is negotiating or has any arrangement concerning prospective employment or contracts.

D. **Duty to Disclosure** -- Any conflict of interest, potential conflict of interest, or the appearance of a conflict of interest is to be reported to the Board or other governing body or one's supervisor immediately.

E. **Board Action** -- When a conflict of interest is relevant to a matter requiring action by the Board of Directors/Trustees or other governing body, the Board member or other governing person, officer, employee, or agent (person(s)) must disclose the existence of the conflict of interest and be given the opportunity to disclose all material facts to the Board and members of committees with governing board delegated powers considering the possible conflict of interest. After disclosure of all material facts, and after any discussion with the person, he/she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

In addition, the person(s) shall not participate in the final deliberation or decision regarding the matter under consideration and shall leave the meeting during the discussion of and vote of the Board of Directors/Trustees or other governing body.

F. **Violations of the Conflicts of Interest Policy** -- If the Board of Directors/Trustees or other governing body has reasonable cause to believe a member, officer, employee or agent has failed to disclose actual or possible conflicts of interest, it shall inform the person of the basis for such belief and afford the person an opportunity to explain the alleged failure to disclose. If, after hearing the person's response and after

making further investigation as warranted by the circumstances, the Board of Directors/Trustees or other governing body determines the member, officer, employee or agent has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

G. Record of Conflict -- The minutes of the governing board and all committees with board delegated powers shall contain:

1. The names of the persons who disclosed or otherwise were found to have an actual or possible conflict of interest, the nature of the conflict of interest, any action taken to determine whether a conflict of interest was present, and the governing board's or committee's decision as to whether a conflict of interest in fact existed.
2. The names of the persons who were present for discussions and votes relating to the transaction or arrangement that presents a possible conflict of interest, the content of the discussion, including any alternatives to the transaction or arrangement, and a record of any votes taken in connection with the proceedings.

Approved by:

##ContractorName##

Name of Organization

Signature of Organization Official

Date

Attachment 11-Annual Conflict of Interest Verification

Conflict of Interest Verification (Annual)

We, the undersigned entity, hereby testify that our Organization's Conflict of Interest Acknowledgement and Policy adopted by the Board of Directors/Trustees or other governing body, is on file with the North Carolina Department of Health and Human Services (DHHS). If any changes are made to the Conflict of Interest Policy, we will submit a new Conflict of Interest Acknowledgment and Policy to the Department (DHHS).

Name of Organization

Chairman, Executive Director, or other Authorized Official Date

Attachment 12-Proof of Insurance

PROOF OF INSURANCE VERIFICATION FORM

We, the undersigned entity, hereby testify that proof of insurance for our organization is on file with the North Carolina Department of Health and Human Services (DHHS), and is accurate and the coverage is up to date. If coverage changes at any time during the contract period, we will submit a new Proof of Insurance letter to the Department (DHHS).

Name of Organization

Chairman, Executive Director, or other Authorized Official Date

Attachment 13-Currently Known Reporting Requirements

The following information on reporting requirements was recently released by HUD and is subject to change based on updates from HUD. Updates will be distributed as information is made available by HUD.

1. Household Information broken down by activity:

- Homeless prevention
- Rapid re-housing
- Shelter activity
- Total for all persons served with ESG

And by number of persons in households by the following categories within each activity:

- Adults
- Children
- Don't Know/Refused
- Missing Information

2. Gender for all persons served with ESG:

- Male
- Female
- Transgendered
- Unknown

3. Age Information for all persons served with ESG:

- Under 18
- 18-24
- Over 24
- Don't know/Refused
- Missing Information

4. Special Populations for all persons served with ESG:

Subpopulation	Total	Total Persons Served-Prevention	Total Persons Served-RRH	Total Persons Served in Emer. Shelters
Veterans				
Victims of Domestic Violence				
Elderly				
HIV/AIDS				
Chronically Homeless				
Persons with Disabilities:				
Severely Mentally Ill				
Chronic Substance Abuse				
Other Disability				

Total (Unduplicated if possible)				
--	--	--	--	--